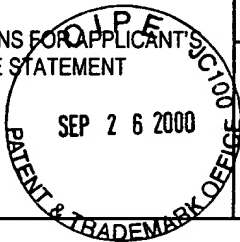


<b>FORM PTO-1449(Modified)</b>  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. C0441/7166	SERIAL NO. 09/577,232
	APPLICANT Lundy Lewis	
	FILING DATE May 23, 2000	GROUP 2756



#### U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
DE		5,905,715	05-18-99	Azarmi et al.	370	244	
		5,517,622	05-14-96	Ivanoff et al.	709	232	
		5,504,906	04-02-96	Lutoff	709	302	
		5,761,502	6/2/98	Jacobs	395	614	
		5,696,486	12/9/97	Poliquin et al.	340	506	
DE		5,640,505	6/1997	Hearn et al.			

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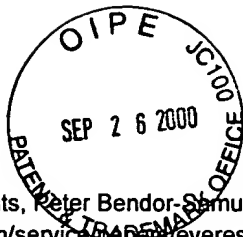
		Doc. No. (11)	Pub. Date (43)	Country	Class	Sub Class	Translation Yes No

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- DE Network and Distributed Systems Management, edited by Morris Sloman, Imperial College of Science, Technology & Medicine, University of London, Addison-Wesley Publishing Co., Chapter 11, pp. 273-301 \*
- DE Green Paper on Object Model for Services, 12 March 1997, Editor: Bryan Wood ([bmw@mci.org.uk](mailto:bmw@mci.org.uk)), pp. 1-4 \*
- DE ODP Functions and CORBA Services, Background Material For Green Paper on ODP Functions and Object Services, Bryan Wood, Open-IT Ltd., 12 March 1997, pp. 1-24 \*
- DE ISO/IEC JTC 1/SC 21 N9309, QoS - Basic Framework - CD Text, Joint ISO/IEC & ITU-T, Interim Meeting, Toronto, 9-13/1/95, Open Systems Interconnection, Data Management and Open Distributed Processing, Secretariat: USA (ANSI), January 1995 \*
- DE Quality of Service (QoS) in OMG, Chris Sluman ([cms@mci.org.uk](mailto:cms@mci.org.uk)), Jeremy Tucker ([tuckerj@logica.com](mailto:tuckerj@logica.com)), J.P. LeBlanc ([jpleblanc@ibm.net](mailto:jpleblanc@ibm.net)), OMG Green Paper, 97-03-06 - Version 0.3 - 11/25/98, pp. 1-17 \*
- DE Quality of Service in Distributed Systems, Guest Editorial, Andrew T. Campbell, S. Keshav \*
- DE Object Management Group (OMG), 6/30/97, Object Services and Consulting, Inc. \*
- DE Position Paper: Resource Management for Complex Distributed Systems, Michael B. Davis and Jaroslaw J. Sydir, SRI International, Information, Telecommunications, and Automation Division, Menlo Park, California 94025, 8/26/96 \*
- DE Taxonomy for QoS Specifications, Bikash Sabata Saurav Chatterjee, Michael Davis Jaroslaw and Thomas F. Lawrence, SRI International, 333 Ravenswood Ave, Menlo Park, California 94025, Published in the proceedings of Words '97, February 5-7, 1997, Newport Beach, California \*
- DE Integrated Quality of Service for Multimedia Communications, Andrew Campbell, Geoff Coulson, Francisco Garcia, David Hutchinson and Helmut Leopold, 1993 IEEE, 0743-166X/93, pp. 732-739 \*



*DE* Crafting Successful Service Level Agreements, Peter Bendor-Samuel ([info@eversoft.com](mailto:info@eversoft.com)), Everest Software Corp.,  
wysiwyg://1426/http://www.summitonline.com/service/papers/everest

*DE* Object-Based QoS Management Framework, Pradeep Ray, Department of Computing, University of Western Sydney, Nepean,  
Kingswood, NSW, 2747, Australia, 4/22/97

*DE* Multimedia Service Delivery with Guaranteed Quality of Service, M.Fry et al., CRC For Distributed Systems Technology, University of  
Technology, Sydney, Sydney 2007, Australia

*DE* L. Lewis, "A1 and Intelligent Networks In The 1990's And Into The 21st Century, Chap. 7, pp. 109-124, Worldwide Intelligent Systems,  
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*DE* Heinz-Gerd Hegering, "Integrated Network And System Management," 1994: Section 2.3 - Differentiation Between Network and  
System Management, pp. 97-100; Chapter 14 - Integration of Management Tools Into Platforms, pp. 359-373

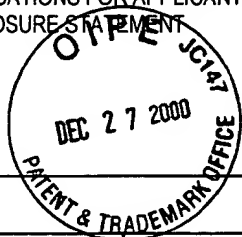
\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. \_\_\_\_\_,  
filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional  
applications).

EXAMINER <i>David England</i>	DATE CONSIDERED <i>4/2/03</i>
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	APPLICANT NAME Lundy Lewis	
	FILING DATE May 23, 2000	GROUP 2756



#### U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate

#### FOREIGN PATENT DOCUMENTS

		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

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L. Lewis, "Spectrum Service Level Management Definition, Offerings, And Strategy," Technical Note LML-CTRON-98-02, 'Online!', 30 March 1998 (1998-03-30), pages 1-17, XP002150696, Retrieved from the Internet: [URL:www.aprisma.com/white-papers/spectrum/slm.pdf](http://www.aprisma.com/white-papers/spectrum/slm.pdf) 'retrieved on 2000-10-18!

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"Saman Strategic Service Management," Gecko Software Saman Whitepaper, 'Online! 1997, pages 1-5, XP002150697, Retrieved from the Internet: [URL:http://www.geckoware.com/products/s0001-w1.htm](http://www.geckoware.com/products/s0001-w1.htm), 'retrieved on 2000-10-18!

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<b>FORM PTO-1449(Modified)</b> LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. C0441/7166	SERIAL NO. 09/577,232
	APPLICANT Lundy Lewis	
	FILING DATE May 23, 2000	GROUP Technology Center 2100



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Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate

**FOREIGN PATENT DOCUMENTS**

Doc. No. (11)	Pub. Date (43)	Country	Class	Sub Class	Translation Yes No
EP 0854605 A2	22.07.1998	Europe			
WO 93/10495	27.05.93	PCT			

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*DL* L. Lewis, "Spectrum Service Level Management Definition, Offerings, And Strategy," Technical Note LML-CTRON-98-02, 'Online!', 30 March 1998 (1998-03-30), pp. 1-17, XP002150696

*DL* K. Kubo et al., "A Method Of Extracting Management Information For Service Management," NTT Review, JP, Telecommunications Association, Tokyo, vol. 10, no. 2, 1 March 1998 (1998-03-01), pp. 63-68, XP000740456

*DL* L. Lewis et al., "Incorporating Business Process Management Into Network And Systems Management," Proceedings - ISADS 97- Third International Symposium On Autonomous Decentralized Systems (Cat. No. 97TB100111), Berlin, Germany, 9-11 April 1997, pp. 385-392, XP002150698, 1997, Los Alamitos, CA, USA, IEEE Comput. Soc. Press, USA

*DL* L. Lewis et al., "Event Correlation In SPECTRUM And Other Commercial Products," TECHNICAL NOTE CTRON-LML-99-05, 'Online!', 5 May 1999 (1999-05-05), pp. 1-8, XP002159591

*DL* L. Lewis, "Managing Computer Networks: A Case-Based Reasoning Approach," 1995, ARTECH HOUSE, INC., Norwood, MA, US, XP002159593

*DL* "Saman Strategic Service Management," Gecko Software Saman Whitepaper, 'Online!', 1997, pp. 1-5, XP002150697

*DL* L. Lewis, "A Fuzzy Logic Representation Of Knowledge For Detecting/Correcting Network Performance Deficiencies," Network Management and Control, vol. 2, 1994, pp. 1-7, XP002159592

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	APPLICANT, Lundy LEWIS,	
	FILING DATE May 23, 2000	GROUP

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Exam Init	Ref. Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
DE		5,768,501	06/16/98	Lewis	395	185	May 28, 1996
		5,261,044	11/09/93	Lewis et al.	395	159	
		5,680,552	10/21/97	Netravali et al.	395	200.8	
		5,473,608	12/5/95	Gagne et al.	370	401	
		5,450,408	9/12/95	Phaal	370	401	
		5,317,568	5/31/94	Bixby et al.	370	401	
		5,079,765	1/7/92	Nakamura	340	825.8	
		5,436,909	7/25/95	Dev			
		5,293,323	3/8/94	Doskocil			
		5,309,448	5/94	Bouloutas	395	183	
		5,495,470	2/96	Tyburski et al.	370	248	
		4,977,390	12/90	Saylor et al.	340	521	
		5,261,044	11/93	Dev et al.	395	159	
DE		5,204,955	4/93	Kagei et al.	395	575	

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	Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No
DE	WO 95/08794	30.03.95	PCT			
	WO 94/23514	13.10.94	PCT			
	EP 0 632 617 A2	04.01.95	EPO			
DE	EP 0 621 716 A2	26.10.94	EPO			x

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DE		John McConnell: "SPECTRUM and NerveCenter - A New Level of Integration"
		May 1996, McConnell Consulting, Inc., Boulder, CO.
		Lundy Lewis and Jim Frey: "Incorporating Business Process Management into Network and Systems Management", April 9-11, 1997, Proceedings of ISADS 97, IEEE Computer Society Press, Los Alamitos, CA.
		Schlaerth, J.P.: "A Concept for Tactical Wide-Area Network Hub Management," Proceedings of the Communications Conf. (MilCOM), Long Branch, NJ., Oct. 2-5, 1994, Vol. 2 of 3, IEEE, pp. 644-649.
DE		Grady Booch: "Object-Oriented Analysis and Design (with Applications)" Second Ed., 1994 Ch. 2, pgs 28-80, Addison-Wesley Publishing Co.

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